

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re PATENT APPLICATION OF

Ronald Hoogendoorn et al.

Group Art Unit: (Unassigned)

Application Serial No. (Unassigned)

Examiner: (Unassigned)

Filed: December 10, 2001

Title: NEW ESTERS AND ESTER COMPOSITIONS

\* \* \* \* \*

**PRELIMINARY AMENDMENT**

Hon. Commissioner of Patents  
Washington, D.C. 20231

Sir:

Prior to prosecution of the above-identified application, please amend the application as indicated herein.

**IN THE SPECIFICATION**

Page 1, just after the title at line 2, please insert the following heading and paragraph:  
--Cross Reference to Related Applications

This application is a continuation of International Application No. PCT/GB00/02207, filed June 7, 2000 which designated the U.S., and which further claims priority from British Application No. 99111209.5, filed June 9, 1999, both of which are incorporated herein by reference.--

**IN THE CLAIMS**

Please enter the following amended claims:

3. (Amended) An ester as claimed in claim 1, wherein X is saturated and linear and has 7-9 carbon atoms, Y is saturated and branched and has 4-6 carbon atoms, Z is saturated and linear and has 4 carbon atoms, and n is 1.5-5.

4. (Amended) Use of an ester or ester compositions as claimed in claim 1 as or in hydraulic fluids or metal working fluids.

5. (Amended) A process for preparing an ester or ester composition as claimed in claim 1, by reacting together a monocarboxylic acid having a group X, a diol having a group Y and a dicarboxylic acid having a group Z, wherein the ratio of OH groups and COOH groups in the reaction mixture, at the start of the reaction, is 0.9:1-1.1:1 and the ratio of COOH groups from monocarboxylic acid to the dicarboxylic acid in the reaction mixture, at the start of the reaction, is 0.3:1-1.5:1.

*See the attached Appendix for the changes made to effect the above claim(s).*

## IN THE ABSTRACT OF THE DISCLOSURE

Please insert the following Abstract of the Disclosure after the claims:

--The invention relates to new esters and ester compositions based on a polyol, a dicarboxylic acid and a monocarboxylic acid, a process for their preparation and their use in hydraulic fluids and metal working fluids. The new esters and ester compositions have improved clean burning and lubricity properties when used in/as metal working fluids, especially rolling fluids. The new esters and ester compositions have improved biodegradability and thermal and oxidative stability properties when used in/as hydraulic fluids.--

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**REMARKS**

The amendments made herein have been made to better conform the application to U.S. practice and format. An Abstract of the Disclosure has been added as well as reference to related priority applications. The claims have been amended to remove multiple dependent claims. No new matter has been added.

In view of the foregoing, the claims are now believed to be in form for allowance, and such action is hereby solicited. If any points remain in issue which the Examiner feels may be best resolved through a personal or telephone interview, he is kindly requested to contact the undersigned at the telephone number listed below.

Attached hereto is a marked-up version of the changes made to the specification and claims by the current amendment. The attached Appendix is captioned "Version with markings to show changes made".

All objections and rejections having been addressed, it is respectfully submitted that the present application is in a condition for allowance and a Notice to that effect is earnestly solicited.

Respectfully submitted,  
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Attorney Reference: 090128/0284116

Enclosure: Appendix

**APPENDIX: VERSION WITH MARKINGS TO SHOW CHANGES MADE**

**IN THE CLAIMS:**

The claims have been amended as follows:

3. (Amended) An ester as claimed in [either of claims 1 or 2] claim 1, wherein X is saturated and linear and has 7-9 carbon atoms, Y is saturated and branched and has 4-6 carbon atoms, Z is saturated and linear and has 4 carbon atoms, and n is 1.5-5.

4. (Amended) Use of an ester or ester compositions as claimed in [any of claims 1-3] claim 1 as or in hydraulic fluids or metal working fluids.

5. (Amended) A process for preparing an ester or ester composition as claimed in [any of claims 1-3] claim 1, by reacting together a monocarboxylic acid having a group X, a diol having a group Y and a dicarboxylic acid having a group Z, wherein the ratio of OH groups and COOH groups in the reaction mixture, at the start of the reaction, is 0.9:1-1.1:1 and the ratio of COOH groups from monocarboxylic acid to the dicarboxylic acid in the reaction mixture, at the start of the reaction, is 0.3:1-1.5:1.